PAKISTAN STOCK EXCHANGE LIMITED

Stock Exchange Building, Stock Exchange Road, Karachi
Phones: 111-001-122

Annexure (1)

The Governing Board of Directors,
Pakistan Stock Exchange Limited
Karachi.

Dear Sirs,

We, **M/s.** _____ having our registered Office at _____ hereby request you to admit us as a TRE Certificate Holder of Pakistan Stock Exchange Limited.

We enclose herewith our crossed Cheque of Rs: **2,500,000/-** towards issuance of TRE Certificate and Rs.**10,000/-** towards Annual TRE Certificate subscription.

We intend to register ourselves and obtain a license as Securities Broker under the **Trading & Self Clearing** category not later than 6 months from the date of acquiring this TRE Certificate and shall commence business not later than 3 months from the date of registration as broker as per clause 16(7) of the Stock Exchanges (Corporatization, Demutualization and Integration) Act 2012.

We have acquainted ourselves with the Memorandum and Articles of Association, Regulations and Procedures of Pakistan Stock Exchange Limited. We agree unconditionally to abide by the same. We also agree and undertake to abide by any Articles, Regulations, Procedures, instructions / notices of Pakistan Stock Exchange Limited that may be framed, amended and adopted hereinafter.

The desired particulars are given in the attached form.

Yours faithfully,

Dated_____

_____
Signature of Chief Executive Officer

Name: _____

CNIC No.:_____

Designation:_____

Company Address: _____

_____

_____

Common Seal of Company

FOR OFFICE USE

ISSUED ON: _____ (Valid for sixty days from the date of Issue)

Name of Applicants **M/s.** _____

_____

SAMPLE

Issuing Authority

SAMPLE

PAKISTAN STOCK EXCHANGE LIMITED
Stock Exchange Building, Stock Exchange Road, Karachi
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Annexure (2)

PARTICULARS OF APPLICANT
(On the letterhead of Company)

1. Full Name (Block Letters) : _____
2. Registered address : _____
   _____
3. Phone(s)/Mobile No./ Email/
   Website: : _____
4. Incorporated : On_____ No _____
5. Names & CNIC of Directors : 1. _____
   2. _____
   3. _____
   4. _____
   5. _____
   6. _____
6. a) Name & CNIC of Chief Executive : _____
   b) Educational Qualification _____
   of Chief Executive : _____
7. If a member of (specify) : _____
   a) Broker Association _____
   b) Trade body/Chamber _____
8. Brief profile of Company : _____
   (Use separate sheets)
9. Bank Name : _____
   Branch : _____
10. Any other information which: _____
    the applicant may desire _____
    to furnish _____

We certify that the above particulars are true to the best of our knowledge and belief.

_____
Signature of Chief Executive

Name: _____

Common Seal of Company

Designation: _____

Company: _____

SAMPLE

Note: **Use separate sheet(s) if necessary.**

SAMPLE

PAKISTAN STOCK EXCHANGE LIMITED
Stock Exchange Building, Stock Exchange Road, Karachi
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Annexure – (3)

SPECIMEN
(On the letterhead of Company)
RESOLUTION AUTHORISING A PERSON TO APPLY FOR THE TRE CERTIFICATE

Resolved that Mr/Ms_____
s/o w/o / d/o_____ Chief Executive/Director of our company namely,_____
is hereby authorised to sign, execute the TRE Certificate application and any other document(s) pertaining to the TRE Certificate of Pakistan Stock Exchange Limited (hereinafter referred to as the "Executive"); and to represent the company before the Exchange for all matters relating to the TRE Certificate application and also for compliance of its Regulations, Procedures and instruction/notices. In case the Company changes this authority, the company undertakes to immediately inform the Exchange.

Certified to be true copy

Dated:_____

_____
Authorised Signatory
(Chief Executive or Company Secretary)

Name:_____

Common Seal of the company

Annexure (4)

SPECIMEN
(On the letterhead of Company)
LIST OF DIRECTORS OF THE COMPANY

Certified to be the true copy of list of the Directors of M/s._____as on _____

S. No.	Name(s)	Address:	No. of shares held:
1.	_____	_____	_____
2.	_____	_____	_____
3.	_____	_____	_____
4.	_____	_____	_____
5.	_____	_____	_____
6.	_____	_____	_____

Dated:_____

Common Seal of Company

_____
Authorised Signatory
(Chief Executive or Company Secretary)

Name:_____

SAMPLE

PAKISTAN STOCK EXCHANGE LIMITED
Stock Exchange Building, Stock Exchange Road, Karachi
Phones: 111-001-122

Annexure (5)

SPECIMEN

RESOLUTION FOR APPOINTMENT OF CHIEF EXECUTIVE OFFICER
(On the letterhead of Company)

Resolved that Mr./ Mrs. /Ms._____

s/o / w/o / d/o_____, a citizen of Pakistan holding CNIC Number_____ and one of the Directors of our Company, is hereby appointed as "Chief Executive Officer" to represent our Company before the Pakistan Stock Exchange Limited (hereinafter referred to as "the Exchange"), in all respects and in accordance with the Memorandum and Articles of Association, Regulations and Procedures of the Exchange.

It is further resolved that the said Chief Executive Officer, subject to the Regulations and Procedures of the Exchange, is hereby authorised to appoint agents, runners and employees etc., from time to time and/or to remove or replace them as and when so desired, and the Company hereby undertakes to settle or fulfils all liabilities and obligations which may arise in consequence of such appointments or any action by the said Chief Executive Officer. The Company further undertakes to indemnify and keep indemnified the Pakistan Stock Exchange Limited against all losses or damages as may be suffered by the Exchange as a result of any or all actions by the said Chief Executive Officer and / or the management of M/s._____.

SAMPLE

Certified to be true copy

Dated:_____

_____
(**Signature of Chief Executive or Company Secretary**)

Name:_____

Company Seal

PAKISTAN STOCK EXCHANGE LIMITED
Stock Exchange Building, Stock Exchange Road, Karachi
Phones: 111-001-122

Annexure (6)

SPECIMEN
(On the letterhead of Company)

The Governing Board of Directors,
Pakistan Stock Exchange Limited
Karachi.

UNDERTAKING

We, M/s _____
having our registered office at _____
an applicant for the TRE Certificate of Pakistan Stock Exchange Limited (hereinafter referred to as "the Exchange") do hereby undertake to abide by all the relevant Laws, Rules, Regulations, directives/instructions/ notices / circulars of the Securities and Exchange Commission of Pakistan (hereinafter referred to as "the Commission") and the Exchange and all will remain binding on us. We also undertake that;

1. subsequent to becoming a TRE Certificate Holder our company shall, prior to any change in Directorship obtain clearance of the Exchange in terms of meeting the Fit and Proper Criteria specified in the Securities Brokers (Licensing & Operations) Regulations 2016 and the requirements laid down under Regulation 4.4 of the PSX Regulation.
2. our company shall obtain approval of the Exchange and the Commission in case of any change in the sponsors/majority shareholders of the company.
3. that, our company shall be responsible to unconditionally comply with the instructions of the Exchange / the Commission and to furnish books of accounts and or any other record / information required by the Exchange within the time as may be specified by the Exchange.
4. the Sponsors / Directors and Senior Management Officers meet the Fit & Proper Criteria specified in the Securities Brokers (Licensing & Operations) Regulations 2016.

Yours faithfully,

WITNESSES

1. Signature:_____

   Name & Address: _____

   _____

2. Signature: _____

   Name & Address: _____

   _____

_____
(Chief Executive Officer)

Common Seal of Company

SAMPLE

PAKISTAN STOCK EXCHANGE LIMITED
Stock Exchange Building, Stock Exchange Road, Karachi
Phones: 111-001-122

Annexure (7)

(On Non – Judicial Stamp Paper of Rs. 200)

The Governing Board of Directors
Pakistan Stock Exchange Limited
Karachi.

U N D E R T A K I N G

We,_____ having our registered office at _____ (hereinafter referred to as the "**Company"**), an applicant for the TRE Certificate Holder of Pakistan Stock Exchange Limited (hereinafter referred to as the **"Exchange"**), hereby undertake:

i. We comply with the criteria / conditions / requirements as laid down under Regulation No. 4.4 of the PSX Regulations relating to Eligibility Criteria for obtaining TRE Certificate and shall not engage in any business other than that of Broker or other related business as approved by the Securities and Exchange Commission of Pakistan from time to time.

ii. We meet the Fit & Proper Criteria specified in the Securities Brokers (Licensing & Operations) Regulations 2016.

Whatever stated above are true to the best of our knowledge and belief.

1)_____ 2)_____
Deponent Deponent

3)_____ 4)_____
Deponent Deponent

5)_____ 6)_____
Deponent Deponent

7)_____
Deponent

Dated:_____

Note:

1. **This document to be signed by all the Directors / Sponsors /Senior Management Officers authenticated by the Oath Commissioner. (For the term Senior Management Officers, please refer the definition provided under the Securities Act 2015)**
2. **This document should be authenticated by the Oath Commissioner.**

SAMPLE

SAMPLE

PAKISTAN STOCK EXCHANGE LIMITED
Stock Exchange Building, Stock Exchange Road, Karachi
Phones: 111-001-122

Annexure (8)

(On the letterhead of Company)

Dated:_____

The Governing Board of Directors
Pakistan Stock Exchange Limited
Karachi.

U N D E R T A K I N G

We, _____, having our registered office at _____, (hereinafter referred to as "the Company"), an applicant for the TRE Certificate Holder of Pakistan Stock Exchange Limited (hereinafter referred to as the "Exchange"),

We hereby undertake that adequate staff, resources, risk management and internal control policies, procedures and systems will be available to effectively perform our obligations as a TRE Certificate Holder.

IN WITNESS WHEREOF we have signed this undertaking on _____ day of _____, _____ and have put up our company seal on this undertaking.

WITNESSES

For and on behalf of
_____

_____
(Chief Executive Officer)

1. Signature:_____

   Name & Address: _____
   _____

2. Signature: _____

   Name & Address: _____
   _____

Common Seal of Company

SAMPLE

PAKISTAN STOCK EXCHANGE LIMITED
Stock Exchange Building, Stock Exchange Road, Karachi
Phones: 111-001-122

Annexure (9)

(On the letterhead of Company)

Dated: _____

The Managing Director
Pakistan Stock Exchange Limited
Stock Exchange Building
Stock Exchange Road
KARACHI.

Subject: **UNDERTAKING**

Dear Sir,

We hereby confirm that none of our Directors / spouse(s), sponsors, and officers hold directorship in any company listed on the Pakistan Stock Exchange Limited.

Thanking you,

_____
Chief Executive Officer

SAMPLE

Note: For the term “Officer” please refer to the Companies Act, 2017.

SAMPLE

PAKISTAN STOCK EXCHANGE LIMITED
Stock Exchange Building, Stock Exchange Road, Karachi
Phones: 111-001-122

Annexure (10)

(ON NON-JUDICAL STAMP PAPER OF RS. 50/-)

UNDERTAKING

This is to certify that I, _____s/o _____ bearing CNIC No._____ and my wife _____ bearing CNIC No. _____ confirm that we do not hold directorship in any company listed on the Pakistan Stock Exchange Limited.

Dated: _____

_____
Signature of Director

_____
Signature of Chief Executive Officer

Encl: Copy of CNIC of his wife

SAMPLE

PAKISTAN STOCK EXCHANGE LIMITED
Stock Exchange Building, Stock Exchange Road, Karachi
Phones: 111-001-122

Annexure (11)

(ON NON-JUDICAL STAMP PAPER OF RS. 50/-)

UNDERTAKING

This is to certify that I, _____s/o _____ bearing CNIC No._____ confirm that I do not hold directorship in any company listed on the Pakistan Stock Exchange Limited.

Dated: _____

_____
Signature of Sponsor/Officer*

_____
Signature of Chief Executive Officer

Encl: Copy of CNIC of his wife

SAMPLE

Note: For the term "Officer" please refer to the Companies Act, 2017.

Annexure (12)

(On the letterhead of Company)

Date: _____

The General Manager
Operations
Pakistan Stock Exchange Limited
Stock Exchange Building,
Stock Exchange Road,
Karachi

Subject: **REPORT FOR COMPLIANCE WITH GAZETTE OF PAKISTAN STATUTORY NOTIFICATIONS BY MINISTRY OF FOREIGN AFFAIRS REGARDING ENTITIES/INDIVIDUALS RELATED TO AL-QAIDA AND TALIBAN**

Dear Sir,

Reference is made to your notice No. KSE/N-4028 dated July 29, 2010 wherein, you have asked us to report compliance.

It is hereby confirmed that we, _____ do not have any association with any individual or group supporting Al Qaida and Taliban related entities/individuals mentioned on the United Nation Securities Council (UNSC) website as of http://www.un.org/sc/suborg/en/sanctions/1988/materials and www.un.org/sc/suborg/en/sanctions/1267/aq_sanctions list.

Kindly note the same.

Regards,

_____
Chief Executive Officer

SAMPLE

PAKISTAN STOCK EXCHANGE LIMITED
Stock Exchange Building, Stock Exchange Road, Karachi
Phones: 111-001-122

ANNEXURE (13)

SPECIMEN

AFFIDAVIT

(ON NON-JUDICAL STAMP PAPER OF RS. 200/-)

I,_____s/o **/** d/o **/** w/o _____adult, residing at

_____Chairman/

Chief Executive of M/s _____(hereinafter called the company)

confirm that our Brokerage House is required to:

1. Register as broker not later than 6 months from the date of acquiring this TRE Certificate as per Clause 16(7) of the Stock Exchanges (Corporatisation, Demutualization and Integration) Act 2012.

2. Commence business not later than 3 months from the date of Registration as a Security Broker as per Clause 16(7) of the Stock Exchanges (Corporatisation, Demutualization and Integration) Act, 2012.

I further confirm that the TRE Certificate is non-transferable and failure to get registered or commence business within the time period specified above will result in lapse of this TRE Certificate.

_____
D E P O N E N T

Dated:_____

Name:_____

Note: **This document should be authenticated by the Oath Commissioner.**

SAMPLE